

Certified Unified Program Agency Self Audit Guidance Document

Date of Evaluation:

Jurisdiction Name:

CUPA:

Contact Person Name:

Address:

Mailing Address:

Telephone Number: _____ Facsimile Number:

This Self Audit should include documentation for the following items:

- " A periodic review of PAs [Title 27, CCR, ' 15280(a)(1)(A)]**
- " A report of PA deficiencies with a plan of correction [Title 27, CCR, ' 15280(a)(1)(A)]**
- " A summary of findings for the self audit [Title 27, CCR, ' 15280(a)(1)(C)]**
- " Summaries of program elements [Title 27, CCR, ' 15280(a)(2)]**
- " A summary of Single Fee System activities [Title 27, CCR, ' 15280(a)(3)]**
- " A summary of the progress made toward consolidating, coordinating, and making consistent the Unified Program [Title 27, CCR, ' 15280(a)(4)]**
- " A record of changes in local ordinances, resolutions, and agreements affecting the Unified Program [Title 27, CCR, ' 15280(a)(5)]**
- " A summary of the annual review and update of the fee accountability program as required by Title 27, CCR, Section 15210(b)(2) [Title 27, CCR, ' 15280(a)(6)]**
- " A listing of all stationary sources covered by the CalARP program which have been audited [Title 19, CCR, ' 2780.5(d)(1)(A)]**
- " A listing of all stationary sources covered by the CalARP program which have been requested to develop RMPs [Title 19, CCR, ' 2780.5(d)(1)(B)]**
- " A listing of all stationary sources covered by the CalARP program which have been inspected [Title 19, CCR, ' 2780.5(d)(1)(C)]**
- " A listing of all stationary sources covered by the CalARP program which have received comments on the RMP [Title 19, CCR, ' 2780.5(d)(1)(D)]**
- " A list of new or modified stationary sources covered by the CalARP program [Title 19, CCR, ' 2780.5(d)(2)]**
- " A summary of enforcement actions initiated by the CUPA identifying each stationary source covered by the CalARP program [Title 19, CCR, ' 2780.5(d)(4)]**
- " A summary of the personnel and personnel years necessary to directly implement, administer, and operate the CalARP program [Title 19, CCR, ' 2780.5(d)(7)]**

**CERTIFIED UNIFIED PROGRAM AGENCY
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Introduction:

Purpose of the self audit: This guidance document is intended to be used by Certified Unified Program Agencies (CUPA) and Unified Program evaluators as a tool when evaluating CUPA performance. This self audit was designed to meet the requirements of Title 27 of the California Code of Regulations, Section 15280(a) which specifies that every CUPA must complete an annual self audit of their Unified Program activities.

Organization/Structure of the self audit: The self audit is written as Title 27 in the form of a questionnaire. The focus of the self audit is on the implementation and operation of the Unified Program. The self audit does not include requirements that are solely intended to define the certification of a local agency to be a CUPA.

How to use the self audit: Except where a Participating Agency (PA) is not involved and a question refers to a PA requirement, the CUPA should provide an answer that indicates either a **AY@** for a YES or an **AN@** for a NO for every question. For every NO answer a detailed explanation needs to be provided to explain why the requirement was not met. An unanswered question, an **AN/A@**, or **ANot Applicable@** are not acceptable. All responses in the self audit are subject to verification through documentation or observation by an evaluator. Both the CUPA and the evaluator should use the self audit to highlight possible areas of deficiency that may require closer examination and possibly some form of corrective action.

Definitions:

Cal/EPA - The California Environmental Protection Agency

CCR - California Code of Regulations

CUPA - Certified Unified Program Agency

PA - Participating Agency

Secretary - The Secretary of the California Environmental Protection Agency

Responsible Agency - A CUPA or Participating Agency

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1.0. Annual Program Self Audit

[Title 27, CCR, ' 15280]

- 1.1. Does the self audit include an evaluation of all program elements? Y / N
[Title 27, CCR, ' 15280(a)(1)(A)]
- 1.2. Does the self audit include the periodic review of PAs? Y / N
[Title 27, CCR, ' 15280(a)(1)(A)]
- 1.3. Does the self audit include a report of PA deficiencies with a plan of correction? Y / N
[Title 27, CCR, ' 15280(a)(1)(A)]
- 1.4. Was the self audit completed by September 30 for the previous fiscal year? Y / N
[Title 27, CCR, ' 15280(a)(1)(B)]
- 1.5. Has the CUPA prepared a summary of findings for the self audit? Y / N
[Title 27, CCR, ' 15280(a)(1)(C)]
- 1.6. Has the CUPA maintained the self audit and summary of findings on-site for the past three fiscal years? Y / N
[Title 27, CCR, ' 15280(a) & ' 15280(a)(1)(C)]
- 1.7. Does the self audit summary of program element activities include:
[Title 27, CCR, ' 15280(a)(2)]
- 1.7.1. The number and types of businesses regulated under each program element? Y / N
- 1.7.2. The number and type of inspections completed? Y / N
- 1.7.3. The number and type of violations found? Y / N
- 1.7.4. The enforcement actions taken? Y / N
- 1.7.5. The effectiveness and efficiency of permitting and inspection and enforcement activities undertaken? Y / N
- 1.8. Does the self audit include a summary of Single Fee System activities? Y / N
[Title 27, CCR, ' 15280(a)(3)]
- 1.9. Does the self audit include a summary of the progress made toward consolidating, coordinating, and making consistent the Unified Program? Y / N
[Title 27, CCR, ' 15280(a)(4)]
- 1.10. Does the self audit include a record of changes in local ordinances, resolutions, and agreements affecting the Unified Program? Y / N
[Title 27, CCR, ' 15280(a)(5)]

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- 1.11. Does the self audit include a summary of the annual review and update of the fee accountability program as required by Title 27, CCR, Section 15210(b)(2)? Y / N
[Title 27, CCR, ' 15280(a)(6)]
- 1.12. Does the self audit include a listing of all stationary sources covered by the CalARP program which have been audited? Y / N
[Title 19, CCR, ' 2780.5(d)(1)(A)]
- 1.13. Does the self audit include a listing of all stationary sources covered by the CalARP program which have been requested to develop RMPs? Y / N
[Title 19, CCR, ' 2780.5(d)(1)(B)]
- 1.14. Does the self audit include a listing of all stationary sources covered by the CalARP program which have been inspected? Y / N
[Title 19, CCR, ' 2780.5(d)(1)(C)]
- 1.15. Does the self audit include a listing of all stationary sources covered by the CalARP program which have received comments on the RMP? Y / N
[Title 19, CCR, ' 2780.5(d)(1)(D)]
- 1.16. Does the self audit include a list of new or modified stationary sources covered by the CalARP program? Y / N
[Title 19, CCR, ' 2780.5(d)(2)]
- 1.17. Does the self audit include a summary of enforcement actions initiated by the CUPA identifying each stationary source covered by the CalARP program? Y / N
[Title 19, CCR, ' 2780.5(d)(4)]
- 1.18. Does the self audit include a summary of the personnel and personnel years necessary to directly implement, administer, and operate the CalARP program? Y / N
[Title 19, CCR, ' 2780.5(d)(7)]
- 2.0. Program Administration**
[Title 27, CCR, ' 15180(a)]
- 2.1. Public Participation**
[Title 27, CCR, ' 15180(a)(1)]
- 2.1.1. Has the CUPA implemented public participation procedures? Y / N
[Title 27, CCR, ' 15180(a)]
- 2.1.2. Do the public participation procedures include procedures to coordinate, consolidate, and make consistent locally required public hearings related to the unified program? Y / N
[Title 27, CCR, ' 15180(a)(1)(A)]

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2.1.3. Do the public participation procedures include consolidated public notices for activities related to the elements of the unified program? Y / N
[Title 27, CCR, ' 15180(a)(1)(B)]

2.2. Information Management

[Title 27, CCR, ' 15180(a)(2)]

2.2.1. Has the CUPA implemented procedures for records maintenance? Y / N
[Title 27, CCR, ' 15180(a)(2)(A)]

2.2.2. Do the procedures for records maintenance include:
[Title 27, CCR, ' 15180(a)(2)(A)]

2.2.2.1. Identification of the records maintained? Y / N
[Title 27, CCR, ' 15180(a)(2)(A)(I)]

2.2.2.2. Minimum retention times? Y / N
[Title 27, CCR, ' 15180(a)(2)(A)(ii)]

2.2.2.3. Archive procedures? Y / N
[Title 27, CCR, ' 15180(a)(2)(A)(ii)]

2.2.2.4. Proper disposal methods? Y / N
[Title 27, CCR, ' 15180(a)(2)(A)(iv)]

2.2.3. Have the CUPA and PAs instituted procedures to respond to requests from the public, from government agencies with a legal right to access the information, or from emergency responders? Y / N
[Title 27, CCR, ' 15180(a)(2)(B)]

2.2.4. Do the CUPA and PAs maintain personnel training records? Y / N
[Title 27, CCR, ' 15180(a)(2)(C)(I)]

2.2.5. Do the PAs make training records available to the CUPA upon request? Y / N
[Title 27, CCR, ' 15180(a)(2)(C)(ii)]

2.2.6. Do the CUPA and PAs have procedures for providing training records, or access to training records, to the Secretary upon 30 days request? Y / N
[Title 27, CCR, ' 15180(a)(2)(C)(iii)]

2.2.7. Does the CUPA collect and maintain the data required by the Unified Program Information Collection and Reporting Standard as applicable for each regulated business? Y / N
[Title 27, CCR, ' 15180(a)(2)(C)(I)]

2.2.8. Does the CUPA use the required reporting forms and/or electronic data transmission protocols? Y / N
[Title 27, CCR, ' 15180(a)(2)(E)- (H)]

2.3. Financial Management

[Title 27, CCR, ' 15180(a)(3) & ' 15210(b)]

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2.3.1. Has the CUPA implemented a Financial Management System that includes a single fee system?

[Title 27, CCR, ' 15180(a)(3)(A)]

Y / N

2.3.2. Has the CUPA implemented a fee accountability program that includes the following elements:

[Title 27, CCR, ' 15210(b)]

2.3.2.1. A procedure to account for the fee schedule, the actual amount billed, and the revenue collected? Y / N

[Title 27, CCR, ' 15210(b)(1)(A)]

2.3.2.2. Discrete billable services, categorized as either site specific or general?

[Title 27, CCR, ' 15210(b)(1)(B)]

Y / N

2.3.2.3. Staff work hours required to implement the program?

[Title 27, CCR, ' 15210(b)(1)(C)]

Y / N

2.3.2.4. Direct program expenses including durable and disposable equipment?

[Title 27, CCR, ' 15210(b)(1)(D)]

Y / N

2.3.2.5. Indirect program expenses including overhead for facilities and administrative functions?

[Title 27, CCR, ' 15210(b)(1)(E)]

Y / N

2.3.2.6. The number of regulated businesses in each program element within the CUPA's jurisdiction? Y / N

[Title 27, CCR, ' 15210(b)(1)(F)]

2.3.2.7. The total number of regulated businesses in the jurisdiction?

[Title 27, CCR, ' 15210(b)(1)(G)]

Y / N

2.3.2.8. The quality and range of services provided, including frequency of inspection?

[Title 27, CCR, ' 15210(b)(1)(H)]

Y / N

2..3.3. Has the CUPA and its PAs performed an annual review and update of the fee accountability program?

[Title 27, CCR, ' 15210(b)(2)]

Y / N

2.4. Dispute Resolution and Formal Appeals Process

[Title 27, CCR, ' 15180(a)(4) & (5)]

2.4.1. Has the CUPA implemented a dispute resolution process to resolve problems between the PAs and the CUPA?

[Title 27, CCR, ' 15180(a)(4)]

Y / N

2.4.2. Has the CUPA instituted procedures which allow for appeal of a dispute resolution?

[Title 27, CCR, ' 15180(a)(5)]

Y / N

2.5. Comments from Facilities and the Public

[Title 27, CCR, ' 15180(a)(6)]

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- 2.5.1. Has the CUPA instituted procedures to receive and consider comments on a regular basis from facilities and the public that relate to the Unified Program? Y / N
[Title 27, CCR, ' 15180(a)(6)]

2.6. Unified Program Coordination and Management

[Title 27, CCR, ' 15180(a)(7) & (8)]

- 2.6.1. Has the CUPA conducted quarterly meetings with all PAs to develop, coordinate, and maintain consistent administrative and technical policies within the jurisdiction? Y / N
[Title 27, CCR, ' 15180(a)(7)(A)]

- 2.6.2. Does the CUPA maintain written agreements with the governing bodies of all PAs? Y / N
[Title 27, CCR, ' 15180(a)(8)(A)]

- 2.6.3. Does the CUPA maintain procedures for the revocation of PA agreements? Y / N
[Title 27, CCR, ' 15180(a)(8)(B)]

- 2.6.4. Has the CUPA entered into a Performance Improvement Agreement with any PA that has failed to meet the minimum qualifications or has failed to implement its program elements? Y / N
[Title 27, CCR, ' 15180(a)(8)(D)]

3.0. Unified Program Consolidated Permit Program

[Title 27, CCR, ' 15190]

3.1. Consolidated Permit Program

[Title 27, CCR, ' 15190(b)]

- 3.1.1. Does the CUPA issue a Unified Program Facility Permit that consolidates and coordinates permits and authorizations for all program activities? Y / N
[Title 27, CCR, ' 15190(b)(1)]

- 3.1.2. Does the CUPA maintain a single point of contact for permit applications? Y / N
[Title 27, CCR, ' 15190(b)(2)]

- 3.1.3. Does the CUPA issue a consolidated permit application package to applicants? Y / N
[Title 27, CCR, ' 15190(b)(3)]

- 3.1.4. Does the consolidated permit program include a system to define permits? Y / N
[Title 27, CCR, ' 15190(b)(4)]

- 3.1.5. Does the consolidated permit include the Statewide Contingency Plan format? Y / N
[Title 27, CCR, ' 15190(b)(5)]

- 3.1.6. Does the CUPA issue permits in a timely manner? Y / N
[Title 27, CCR, ' 15190(b)(6)(A)]

- 3.1.7. Does the permitting process include:
[Title 27, CCR, ' 15190(b)(6)(B)]

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- 3.1.7.1. A preliminary check for application completeness? Y / N
[Title 27, CCR, ' 15190(b)(6)(B)(I)]
- 3.1.7.2. A technical review of permit applications by the responsible agency? Y / N
[Title 27, CCR, ' 15190(b)(6)(B)(ii)]
- 3.1.7.3. A procedure for tracking permit applications, establishing follow-up protocol, and facilitating expeditious processing when necessary? Y / N
[Title 27, CCR, ' 15190(b)(6)(B)(iii)]
- 3.1.8. Does the consolidated permit program include a mechanism for evaluating the permit process? Y / N
[Title 27, CCR, ' 15190(b)(8)]
- 3.1.9. Does the mechanism for evaluating the permit process include:
- 3.1.9.1. An evaluation of the coordination, consolidation, and consistency of the permit process? Y / N
[Title 27, CCR, ' 15190(b)(A)]
- 3.1.9.2. An evaluation of consumer response tools such as questionnaires or surveys? Y / N
[Title 27, CCR, ' 15190(b)(8)(B)]
- 3.2. Consolidated Permit Program Plan**
[Title 27, CCR, ' 15190(c)]
- 3.2.1. Has the CUPA implemented and maintained a Consolidated Permit Program Plan? Y / N
[Title 27, CCR, ' 15190(c)]
- 3.2.2. Does the Consolidated Permit Program Plan include the following elements:
[Title 27, CCR, ' 15190(c)]
- 3.2.2.1. A list of all types of permits and authorizations that are consolidated within the program? Y / N
[Title 27, CCR, ' 15190(c)(1)]
- 3.2.2.2. A flow chart describing permitting procedures? Y / N
[Title 27, CCR, ' 15190(c)(2)]
- 3.2.2.3. A description or sample of the cover sheet of the Consolidated Permit which includes the following? Y / N
[Title 27, CCR, ' 15190(c)(3)]
- 3.2.2.3.1. List the program element permits that make up the Consolidated Permit? Y / N
[Title 27, CCR, ' 15190(c)(3)(A)]
- 3.2.2.3.2. Identify the permit status of each program element (temporary, provisional, or permitted)? Y / N
[Title 27, CCR, ' 15190(c)(3)(B)]
- 3.2.2.3.3. Identify the permitted facility by business name and address?

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[Title 27, CCR, ' 15190(c)(3)(C)]

Y / N

3.2.2.3.4. Does the Consolidated Permit specify the permit issuance date?

Y / N

[Title 27, CCR, ' 15190(c)(3)(D)]

3.2.2.3.5. Does the Consolidated Permit specify the effective term of the permit?

Y / N

[Title 27, CCR, ' 15190(c)(3)(E)]

3.2.2.4. Does the Consolidated Permit Program Plan include an addenda that documents permit conditions for each applicable program element?

Y / N

[Title 27, CCR, ' 15190(c)(4)]

3.2.2.5. Does the Consolidated Permit Program Plan include the permit cycle?

Y / N

[Title 27, CCR, ' 15190(c)(5)]

3.2.2.11. Does the Consolidated Permit Program Plan include a description of the procedure and process used to address other coordination, consolidation, and consistency issues?

Y / N

[Title 27, CCR, ' 15190(c)(6)]

4.0. Inspection and Enforcement Program

[Title 27, CCR, ' 15200]

4.1. Inspection and Enforcement Program Plan (plan)

[Title 27, CCR, ' 15200(a) & (f)]

4.1.1. Has the CUPA implemented and maintained an Inspection and Enforcement Program Plan?

Y / N

[Title 27, CCR, ' 15200(f)]

4.1.2. Does the CUPA perform an annual review of the Inspection and Enforcement Program Plan?

Y / N

[Title 27, CCR, ' 15200(f)(3)]

4.1.4. Has the CUPA consulted with all PAs and reached consensus prior to making any changes to the plan? Y / N

[Title 27, CCR, ' 15200(f)(3)(A)]

4.1.5. Has the CUPA updated the plan as necessary?

Y / N

[Title 27, CCR, ' 15200(f)(4)]

4.1.6. Inspection Program

[Title 27, CCR, ' 15200(f)(1)]

4.1.6.1. Does the inspection component of the plan include the following:

[Title 27, CCR, ' 15200(f)(1)]

4.1.6.1.1. The number of regulated businesses within each program element and the mandated inspection frequency for those businesses?

Y / N

[Title 27, CCR, ' 15200(f)(1)(A)]

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- 4.1.6.1.2. A schedule of the frequency of inspections to be conducted? Y / N
[Title 27, CCR, ' 15200(f)(1)(B)]
- 4.1.6.1.3. Provisions to promote integrated multi-media inspections? Y / N
[Title 27, CCR, ' 15200(f)(1)(D)]
- 4.1.6.1.4. A mechanism to ensure that Unified Program inspector training meets or exceeds statutory and regulatory requirements for inspector training? Y / N
[Title 27, CCR, ' 15200(f)(1)(E)]
- 4.1.6.1.5. Methods to cross-train staff? Y / N
[Title 27, CCR, ' 15200(f)(1)(F)]
- 4.1.6.1.6. Methods to coordinate inspections between the CUPA and PAs? Y / N
[Title 27, CCR, ' 15200(f)(1)(G)]

4.1.7. Enforcement Program

[Title 27, CCR, ' 15200(f)]

- 4.1.7.1. Does the enforcement component of the Inspection and Enforcement Program Plan include the following:
[Title 27, CCR, ' 15200(f)(2)]
- 4.1.7.1.1. A description of responsible agency enforcement notification procedures which ensure appropriate confidentiality , and coordination and timely notification between responsible agencies and the appropriate prosecuting agency? Y / N
[Title 27, CCR, ' 15200(f)(A)]
- 4.1.7.1.2. Uniform and coordinated application of enforcement standards? Y / N
[Title 27, CCR, ' 15200(f)(B)]
- 4.1.7.1.3. Penalties and enforcement actions which are consistent and predictable for similar violations and no less stringent than state statute and regulations? Y / N
[Title 27, CCR, ' 15200(f)(C)]
- 4.1.7.1.4. A graduated series of enforcement actions which may be taken by the responsible agencies, based on the severity of the violation? Y / N
[Title 27, CCR, ' 15200(f)(D)]
- 4.1.7.1.5. Provisions for county and/or regional meetings of the CUPA with its PAs, and between the CUPAs in a county-wide or regional area involving multiple CUPAs at least every quarter for the purpose of discussing integrated/multi-media enforcement programs which include joint and combined inspection and enforcement? Y / N
[Title 27, CCR, ' 15200(f)(E)]

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4.1.7.1.6. A description of efforts to eliminate duplication, inconsistencies, and the lack of coordination within inspection and enforcement programs? Y / N
[Title 27, CCR, ' 15200(f)(F)]

4.1.7.1.7. Provisions to encourage joint, combined, and integrated/multi-media inspections whenever possible? Y / N
[Title 27, CCR, ' 15200(f)(G)]

4.2. Unified Program Inspections

4.2.1. Has the CUPA made progress toward meeting the objectives of inspecting all regulated businesses at least once every three years? Y / N

4.2.2. Are all Unified Program inspections performed by CUPA and PA staff that meet training and expertise requirements as required for Unified Program inspections? Y / N

4.2.3. Do the CUPA and its PAs document in an inspection report all applicable regulated business compliance requirements (as listed in the Unified Program Consolidated Compliance Checklist) that are required to be checked and reviewed during the inspection? Y / N

4.2.4. Does the inspection report include the following items:

4.2.4.1. Full details of observations, and items checked or reviewed? Y / N

4.2.4.2. An itemized list of all observed violations? Y / N

4.2.4.3. The factual basis for all observed violations? Y / N

4.2.4.4. Any corrective action that should be taken, or has been taken, by the inspected business for minor violations observed during the inspection? Y / N

4.2.4.5. All pertinent information (e.g, documents, photographs, and sampling results) concerning the alleged violations? Y / N

4.2.4.6. Any relevant discussions, or other questions of either the inspector or the operator of the facility or site concerning the inspection? Y / N

4.2.4.7. Name, title, consent, and acknowledgment of receipt of owner, operator or authorized representative? Y / N

4.2.4.8. A notice to comply for minor violations? Y / N

4.2.4.9. A written summary of violations alleged by the inspector? Y / N

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4.2.5. Do the CUPA and its PAs issue copies of inspection reports to inspected businesses within 65 days of completion of the inspection?

Y / N

4.3. Unified Program Enforcement Actions

4.3.1. Do the CUPA and its PAs achieve timely issuance of enforcement orders for administrative actions and referrals to the prosecuting agencies for civil and criminal actions?

Y / N

4.3.2. Do the CUPA and its PAs follow the statutes and regulations that determine the appropriate level of enforcement response for each program element?

Y / N

5.0. Single Fee System Fee Accountability

[Title 27, CCR, ' 15210 - ' 15230]

5.1. Single Fee System

[Title 27, CCR, ' 15210]

5.1.1. Does the Single Fee System replace all fees currently mandated in Health and Safety Code, Sections 25205.14 (Tiered Permitting), 25287 (Underground Storage Tanks), 25513 (Business Plans), 25535.2 (Risk Management Prevention Plans) and any other fees levied by a local agency specifically to fund the implementation of the programs specified in Health and Safety Code, Section 25404(c)?

Y / N

[Title 27, CCR, ' 15210(a)]

5.1.2. Are fee schedules based on factors associated with the cost of implementing and maintaining programs?

Y / N

[Title 27, CCR, ' 15210(a)(2)(A)]

5.1.3. Are fees based on the necessary and reasonable costs to implement the Unified Program?

Y / N

[Title 27, CCR, ' 15210(a)(2)(B)]

5.1.4. Do adjustments in the fee schedule reflect reasonable and necessary costs?

Y / N

[Title 27, CCR, ' 15210(a)(2)(C)]

5.1.5. Has each participating agency notified the CUPA of its program costs?

Y / N

[Title 27, CCR, ' 15210(a)(4)]

5.1.6. Are all funds collected on behalf of the participating agency by the CUPA forwarded to the participating agency?

Y / N

[Title 27, CCR, ' 15210(a)(4)]

5.1.7. Does the CUPA pay the participating agency within 45 days of receiving fees designated for the participating agency (unless the participating agency and CUPA agree in writing to an alternate schedule)?

Y / N

[Title 27, CCR, ' 15210(a)(4)(A)]

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5.1.8. Does each billing statement itemize the fees by program element, if those fee elements are calculated separately? Y / N
[Title 27, CCR, ' 15210(a)(5)]

5.1.9. Has the governing body of the CUPA established a fee schedule for businesses regulated under the Unified Program? Y / N
[Title 27, CCR, ' 15210(a)(7)]

5.1.10. Does the governing body of the CUPA utilize the fee schedules established by the participating agencies and authorize the collection of those fees? Y / N
[Title 27, CCR, ' 15210(a)(7)]

5.1.11. Does the CUPA or participating agency make fee schedules available to interested parties upon request? Y / N
[Title 27, CCR, ' 15210(a)(8)]

5.1.12. Does the CUPA have a mechanism to resolve fee disputes which arise between the CUPA and participating agencies, between a regulated business and either the responsible agency or the CUPA, or between a regulated business and the state regarding the state surcharge? Y / N
[Title 27, CCR, ' 15210(a)(9)]

5.2. Fee Accountability Program

[Title 27, CCR, ' 15210(b)]

5.2.1. Does the fee accountability program encourage more efficient and cost-effective operation of the program for which the single fee and surcharge are assessed? Y / N
[Title 27, CCR, ' 15210(b)]

5.2.2. Does the fee accountability program include the following elements:
[Title 27, CCR, ' 15210(b)(1)]

5.2.14.1. A procedure of accounting for the fee schedule, the actual amount billed, and the revenue collected? Y / N
[Title 27, CCR, ' 15210(b)(1)(A)]

5.2.14.2. Discrete billable services, categorized as either site specific or general? Y / N
[Title 27, CCR, ' 15210(b)(1)(B)]

5.2.14.3. Staff work hours required to implement the program? Y / N
[Title 27, CCR, ' 15210(b)(1)(C)]

5.2.14.4. Direct program expenses including durable and disposable equipment? Y / N
[Title 27, CCR, ' 15210(b)(1)(D)]

5.2.14.5. Indirect program expenses including overhead for facilities and administrative functions? Y / N
[Title 27, CCR, ' 15210(b)(1)(E)]

5.2.14.6. The number of regulated businesses in each program element within the jurisdiction? Y / N

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[Title 27, CCR, ' 15210(b)(1)(F)]

5.2.14.7. Total number of regulated businesses in the jurisdiction? Y / N
[Title 27, CCR, ' 15210(b)(1)(G)]

5.2.14.8. Quantity and range of services provided, including frequency of inspection? Y / N
[Title 27, CCR, ' 15210(b)(1)(H)]

5.2.15. Do the CUPA and participating agencies annually review and update the fee accountability program? Y / N
[Title 27, CCR, ' 15210(b)(2)]

5.3. Billing for State Surcharge

[Title 27, CCR, ' 15210(c)]

5.3.1. Does the Single Fee System include mechanisms for the billing, collection and transmittal of the state surcharge? Y / N
[Title 27, CCR, ' 15210(c)]

5.3.2. Does the CUPA transmit to the Secretary all surcharge revenues collected in accordance with Health and Safety Code Section 25404.5(b)? Y / N
[Title 27, CCR, ' 15210(c)(2)]

5.3.3. Is CCR, Title 27, Table 7 used as a cover for all surcharge transmittals (unless otherwise agreed upon between the applicant agency and the Secretary)? Y / N
[Title 27, CCR, ' 15210(c)(2)]

5.3.4. Has the CUPA provided the Secretary with information necessary for determination of the annual surcharge? Y / N
[Title 27, CCR, ' 15210(d)]

5.4. Transition from a multiple fee system to a single fee system

[Title 27, CCR, ' 15220]

5.4.1. Has the CUPA initiated a single fee system implementation plan which provides for a transition from multiple billing statements and collection agencies within the Unified Program, to a single billing statement and collection agency within the Unified Program? Y / N
[Title 27, CCR, ' 15220(a)]

5.4.2. Does the CUPA provide for public participation and review of the proposed single fee system implementation plan? Y / N
[Title 27, CCR, ' 15220(a)(1)]

5.4.3. Does the implementation plan provide for a transition period no longer than 5 years? Y / N
[Title 27, CCR, ' 15220(a)(2)]

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5.4.4. Does the implementation plan provide for regulated businesses to receive a single billing statement annually which includes all recurring Unified Program activity fees? Y / N
[Title 27, CCR, ' 15220(a)(3)]

5.4.5. Does the implementation plan provide for regulated businesses to remit Unified Program fees with a single payment? Y / N
[Title 27, CCR, ' 15220(a)(4)]

5.4.6. Does the single fee system implementation plan include provisions for instances of non-payment? Y / N
[Title 27, CCR, ' 15220(a)(5)]

5.5. Participating Agency's responsibilities within the Single Fee System.
[Title 27, CCR, ' 15230]

5.5.1. Do the PA's fees reflect the necessary and reasonable costs of implementing the associated program element or elements? Y / N
[Title 27, CCR, ' 15230(a)]

6.5.2. Has the PA notified the CUPA of that fee amount within the time frame as identified in the Unified Program single fee system implementation plan? Y / N
[Title 27, CCR, ' 15230(b)]

6.0. Surcharge.
[Title 27, CCR, ' 15250]

6.1. Collection and record keeping
[Title 27, CCR, ' 15250(a)]

6.1.1. Has the CUPA implemented procedures to ensure collection of the surcharge that address the suspension of permits for non-payment or late payment? Y / N
[Title 27, CCR, ' 15250(a)(1)]

6.1.2. Does the CUPA meet surcharge collection and reporting requirements for all program elements within its Unified Program? Y / N
[Title 27, CCR, ' 15250(a)(3)]

6.1.3. Does the CUPA (or other Responsible Agency) retain surcharge billing and collection records for five (5) years following closure of any billing period or until completion of any audit in process, whichever is longer? Y / N
[Title 27, CCR, ' 15250(a)(5)]

6.1.4 Does the CUPA provide access to surcharge billing, collection and transmittal records within 60 days following a request from the Secretary? Y / N
[Title 27, CCR, ' 15250(a)(6)]

6.1.5. Has the CUPA begun assessing the surcharge within its first billing cycle or within twelve months after the effective date of certification, whichever is shorter? Y / N
[Title 27, CCR, ' 15250(a)(7)]

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6.1.6. Has the full surcharge been assessed within twelve months of the effective date of certification and every twelve months thereafter? Y / N
[Title 27, CCR, ' 15250(a)(8)]

6.2. Remittance to the Secretary

[Title 27, CCR, ' 15250(b)]

6.2.1. Has the CUPA transmitted all collected state surcharge revenues to the Secretary quarterly, within 30 days of the end of each state fiscal quarter? Y / N
[Title 27, CCR, ' 15250(b)(1)]

6.2.2. With each surcharge transmittal, has the CUPA separately reported the amount of surcharge revenues collected for CUPA oversight, regulated underground storage tanks, permit-by-rule facilities, conditional authorization facilities, and conditional exemption facilities? Y / N
[Title 27, CCR, ' 15250(b)(1)(A)]

6.2.3. Have the collected state surcharge revenues been remitted to the Secretary with a completed copy of Report 1? Y / N
[Title 27, CCR, ' 15250(b)(1)(C)]

6.3. Surcharge dispute resolution or referral.

[Title 27, CCR, ' 15250(d)]

6.3.1. Has the CUPA prepared and implement a plan to resolve disputes with regulated businesses involving the state surcharge? Y / N
[Title 27, CCR, ' 15250(d)(1)]

6.3.2. Does the CUPA attempt to resolve disputes involving the surcharge? Y / N
[Title 27, CCR, ' 15250(d)(3)]

6.4. Does the CUPA provide access to surcharge billing, collection and transmittal records upon the Secretary's request? Y / N
[Title 27, CCR, ' 15250(e)]

6.5. Does the responsible agency retain surcharge billing and collection records for five (5) years following closure of any billing period or until completion of any audit in process, whichever is longer? Y / N
[Title 27, CCR, ' 15250(f)]

7.0. Unified Program Reporting

[Title 27, CCR, ' 15280]

7.1. Have the following reports for the last fiscal year been completed and submitted as required? Y / N

7.1.1. Annual Single Fee Summary Report? Y / N

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7.1.3. Annual Summary Report of CUPA Program Activities? Y / N

7.1.4. Tiered Permitting Reports? Y / N

7.2. Have the Quarterly Underground Storage Tank Program Reports been submitted to the State Water Resources Control Board within 60 days after the end of each quarter? Y / N

8.0. CUPA and Participating Agency technical expertise and ongoing training

[Title 27, CCR, ' 15260 & ' 15270]

Note: Agencies presently implementing one or more program elements of the Unified Program shall be considered to possess adequate expertise to implement those specific program elements as participating agencies or as the CUPA.

8.1. CUPA technical expertise and ongoing training

[Title 27, CCR, ' 15260(a)(3)]

8.1.1. Do CUPA technical program staff and supervisors who are involved in specific activities associated with oversight of the local Unified Program requirements meet the following minimum educational requirements? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)]

8.1.1.1. Thirty (30) semester units earned from an accredited college or institution approved by the California Superintendent of Public Instruction under the provisions of California Education Code Section 94310(b), from one or more of the following disciplines? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)]

8.1.1.1.1. Biology or microbiology? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(aa)]

8.1.1.1.2. Chemistry, chemical engineering? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(bb)]

8.1.1.1.3. Physics, physical science? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(cc)]

8.1.1.1.4. Environmental science? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(dd)]

8.1.1.1.5. Geology or soil science? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(ee)]

8.1.1.1.6. Environmental health? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(ff)]

8.1.1.1.7. Environmental or sanitary engineering? Y / N

[Title 27, CCR, ' 15260(a)(3)(A)(i)(gg)]

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- | | | |
|-------------|---|-------|
| 8.1.1.1.8. | Toxicology?
[Title 27, CCR, ' 15260(a)(3)(A)(i)(hh)] | Y / N |
| 8.1.1.1.9. | Industrial ?
[Title 27, CCR, ' 15260(a)(3)(A)(i)(ii)] | Y / N |
| 8.1.1.1.10. | Hazardous materials management?
[Title 27, CCR, ' 15260(a)(3)(A)(i)(jj)] | Y / N |
| 8.1.1.1.11. | Fire science, fire technology?
[Title 27, CCR, ' 15260(a)(3)(A)(i)(kk)] | Y / N |

- OR -

- | | | |
|----------|--|-------|
| 8.1.1.2. | Equivalent to graduation from an accredited college or university or equivalent degree approved by the California Superintendent of Public Instruction under the provisions of California Education Code Section 94301(b) with major course work in the disciplines listed in 8.1.1.1.?
[Title 27, CCR, ' 15260(a)(3)(A)(ii)] | Y / N |
|----------|--|-------|

- OR -

- | | | |
|----------|--|-------|
| 8.1.1.3. | Qualifying experience in hazardous materials management, regulation, analysis, or research; environmental research, monitoring, surveillance or enforcement; or resource recovery may be substituted for the required education, on the basis of one year of qualifying experience for 15 units of college course work authorized pursuant to 8.1.1.1., for up to a maximum of 15 units?
[Title 27, CCR, ' 15260(a)(3)(A)(iii)] | Y / N |
|----------|--|-------|

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| 8.1.2. | Do CUPA technical program staff and supervisors who are involved in specific activities associated with oversight of the local Unified Program requirements meet minimum hours of training or experience requirements contained in 8.1.8.2. for all the following subject areas?
[Title 27, CCR, ' 15260(a)(3)(B)] | Y / N |
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| 8.1.2.1. | Regulatory overview?
[Title 27, CCR, ' 15260(a)(3)(B)(i)] | Y / N |
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| 8.1.2.2. | Classification, identification, and chemistry of hazardous materials and hazardous waste?
[Title 27, CCR, ' 15260(a)(3)(A)(ii)] | Y / N |
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- | | | |
|----------|---|-------|
| 8.1.2.1. | Health and environmental effects of hazardous substances, including chemical exposure and route of entry?
[Title 27, CCR, ' 15260(a)(3)(A)(iii)] | Y / N |
|----------|---|-------|

- | | | |
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| 8.1.2.1. | Sampling methodologies and use of instrumentation for detection and sampling of hazardous substances?
[Title 27, CCR, ' 15260(a)(3)(A)(iv)] | Y / N |
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- 8.1.2.1. Conducting inspections and enforcement actions, and writing inspection reports and notice of violation? Y / N
[Title 27, CCR, ' 15260(a)(3)(A)(v)]
- 8.1.2.1. Interviewing, case development, and collection and preservation of evidence? Y / N
[Title 27, CCR, ' 15260(a)(3)(A)(vi)]
- 8.1.3. Do one or more CUPA technical staff or supervisors, as needed to effectively meet the requirements of 8.1.1. and 8.1.2., meet the requirements of 8.1.6.? Y / N
[Title 27, CCR, ' 15260(b)]
- 8.1.4. Has the CUPA identified the specific types of ongoing training which technical staff and supervisors are required to receive? Y / N
[Title 27, CCR, ' 15260(c)]
- 8.1.5. Do technical staff and supervisors of the CUPA and participating agencies receive training in the following areas? Y / N
[Title 27, CCR, ' 15260(c)]
- 8.1.5.1. Hazardous materials and hazardous waste permitting, inspection and enforcement duties and responsibilities pursuant to state law and regulation, and to local ordinances and resolutions? Y / N
[Title 27, CCR, ' 15260(c)(1)]
- 8.1.5.2. Inspection techniques and scheduling, including evidence collection, chain of custody, sample preservation, and interviewing? Y / N
[Title 27, CCR, ' 15260(c)(2)]
- 8.1.5.3. Administration practices within a hazardous materials and hazardous waste program? Y / N
[Title 27, CCR, ' 15260(c)(3)]
- 8.1.5.4. Monitoring equipment, data evaluation, and interpretation of the results as related to hazardous materials and hazardous waste analysis? Y / N
[Title 27, CCR, ' 15260(c)(4)]
- 8.1.5.5. Field staff health and safety training that includes planning field inspections, safety equipment, on-site procedures, decontamination and hazard recognition and avoidance? Y / N
[Title 27, CCR, ' 15260(c)(5)]
- 8.1.6. Education Requirements
[Title 27, CCR, ' 15260(d)]
- 8.1.6.1. Equivalent to graduation from an accredited college or university or equivalent degree approved by the California Superintendent of Public Instruction under the provisions of California Education Code section 94310(b) with major course work in biological, chemical, physical, environmental or soil science; environmental health; environmental or sanitary engineering; toxicology; industrial

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hygiene; or a related field. Additional qualifying experience in hazardous materials management, regulation, analysis, or research; environmental research, monitoring, surveillance or enforcement; or resource recovery may be substituted for the required education on the basis of one year of qualifying experience for each year of college work for up to a maximum of two years. When substituting experience for education, qualifying education must include a minimum of 30 semester units in natural science from an accredited college or equivalent units from an institution approved as above;[Title 27, CCR, ' 15260(d)(1)(A)]

or

- 8.1.6.2. Registration as an Environmental Health Specialist may be substituted for the required education.
[Title 27, CCR, ' 15260(d)(1)(B)]
- 8.1.7. Do participating staff have a minimum of one year experience in conducting hazardous materials or hazardous waste regulatory inspections? Y / N
[Title 27, CCR, ' 15260(d)(2)]
- 8.1.8. Have staff participating in field order issuance completed the following minimum training? Y / N
[Title 27, CCR, ' 15260(d)(3)]
- 8.1.8.1. Health and safety training as specified in section 5192(e) Title 8, California Code of Regulations?Y / N
[Title 27, CCR, ' 15260(d)(3)(A)]
- 8.1.8.2. 100 hours of training in regulatory investigative techniques including training in the following subjects? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)]
- 8.1.8.2.1. Federal and state statutes and regulations on hazardous waste control? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(I)]
- 8.1.8.2.2. Conducting an inspection? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(ii)]
- 8.1.8.2.1. Waste classification? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(iii)]
- 8.1.8.2.1. Inspection report writing? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(iv)]
- 8.1.8.2.1. Collection and preservation of samples? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(v)]
- 8.1.8.2.1. Enforcement response options? Y / N
[Title 27, CCR, ' 15260(d)(3)(B)(vi)]

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8.1.8.2.1.	Writing reports of violation? [Title 27, CCR, ' 15260(d)(3)(B)(vii)]	Y / N
8.1.8.2.1.	Interviewing? [Title 27, CCR, ' 15260(d)(3)(B)(viii)]	Y / N
8.1.8.2.1.	Case development? [Title 27, CCR, ' 15260(d)(3)(B)(ix)]	Y / N
8.1.8.2.1.	Collection and preservation of evidence? [Title 27, CCR, ' 15260(d)(3)(B)(x)]	Y / N
8.1.8.2.1.	Witness training? [Title 27, CCR, ' 15260(d)(3)(B)(xi)]	Y / N
8.1.8.2.1.	Rules of evidence and administrative hearing process? [Title 27, CCR, ' 15260(d)(3)(B)(xii)]	Y / N
8.1.8.2.1.	Training on the issuance of field orders? [Title 27, CCR, ' 15260(d)(3)(B)(xiii)]	Y / N
8.1.8.3.	Do staff participating in the desk order process and conducting informal hearings under the field order process have 24 hours of training in the following areas? [Title 27, CCR, ' 15260(d)(3)(C)]	Y / N
8.1.8.3.1.	Training on penalty assessment? [Title 27, CCR, ' 15260(d)(3)(C)(i)]	Y / N
8.1.8.3.2.	Negotiation techniques? [Title 27, CCR, ' 15260(d)(3)(C)(ii)]	Y / N
8.1.8.3.3.	Training on the issuance of desk orders? [Title 27, CCR, ' 15260(d)(3)(C)(iii)]	Y / N
8.1.8.4.	Does the CUPA document the training and experience of staff participating in this program? [Title 27, CCR, ' 15260(d)(3)(D)]	Y / N
8.2.	Participating Agency technical expertise and ongoing training [Title 27, CCR, ' 15270]	

Note: A participating agency implementing one or more of the program elements on or before December 31, 1995 shall be considered qualified to implement those specific program element(s) [refer to Section 15260(a)(1)].

8.2.1.	Do Participating Agency technical staff and supervisors meet the ongoing training requirements identified in 8.1.4. and 8.1.5.? [Title 27, CCR, ' 15270(c)]	Y / N
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9.0. Deficiencies identified in the audit

- 9.1. Has the CUPA developed an action plan to correct any deficiencies noted in this self audit evaluation? Y / N
If No, provide an explanation.
- 9.2. Has the CUPA implemented the action plan to correct the noted deficiencies? Y / N
If No, provide an explanation.
- 9.3. Have the deficiencies been corrected? Y / N
If No, provide an explanation.
- 9.4. If the CUPA has been subject to the conditions of a Program Improvement Agreement, has the CUPA meet the objectives of that agreement for the last evaluation period? Y / N
If No, provide an explanation.